

with SB 844 updates
(effective Aug 28, 2010)

Guide to Ethics Laws 2011

A Plain English Summary



Missouri Ethics Commission

www.mec.mo.gov

08/2010

ETHICS GUIDE

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This guide is intended to provide a plain English summary of the Missouri Ethics laws, including laws affecting the activity of individuals who are or may become a candidate for elective offices at the State, County, Municipal or Special District level in Missouri.

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ABOUT THE MISSOURI ETHICS COMMISSION

OUR MISSION:

The Missouri Ethics Commission serves the public interest by assisting and educating the citizens of Missouri, public officials, lobbyists, and individuals participating in public elections while consistently and uniformly enforcing campaign finance, conflict of interest and lobbying laws.

ABOUT THE MISSOURI ETHICS COMMISSION:

The Missouri Ethics Commission was created by the Missouri Ethics Law of 1991 (Section 105.955 RSMo).

The Commission is charged with enforcement of and retention of information and reports related to:

- ✓ Conflicts of interest relating to public officials and employees
- ✓ Lobbyist reporting laws
- ✓ Personal financial interest reporting laws
- ✓ Campaign finance disclosure laws

The Commission has six governor-appointed and senate-approved members, not more than three of the same political party. These members must also be from different congressional districts. The Commission elects a chair and vice-chair biannually.

The Commission issues advisory opinions regarding any of the laws which it enforces. Advisory opinions can be found on the Commission website.

NEW: SENATE BILL 844:

- ✓ SB 844 contains numerous provisions affecting those required to file reports with the Commission.
- ✓ Unless otherwise stated, all provisions are effective August 28th, 2010.
- ✓ View the following, found on our website, for more information:
 - ◆ SB844 Fact Sheet,
 - ◆ SB844 Summary Tutorial
 - ◆ Truly Agreed To and Finally Passed version of SB844

*Information about the Ethics Commission
and all forms and requirements can be found on the
Commission's website at www.mec.mo.gov*

CAMPAIGN FINANCE

Governing Statutes: Chapter 130, RSMo.

WHAT IS CAMPAIGN FINANCE?

Campaign finance disclosure law requires that all committees and all candidates, regardless of their reporting status, as well as certain individuals and entities, maintain accurate and up-to-date accounts and records regarding their campaign-finance activity.

WHAT IS A COMMITTEE?

A person or persons who (1) accepts contributions or spends money for the purpose of attempting to influence the action of voters and (2) the money spent or received exceeds certain dollar amounts. These persons may be required by law to form a committee and register under the campaign finance disclosure law.

TYPES OF COMMITTEES & FORMATION DEADLINES:

There are six different types of committees and each has specific deadlines for formation:

Committee Type	Committee Deadline Dates for Forming
Candidate Committee	30 days prior to the election date
Campaign Committee	30 days prior to the election date
Debt Service Committee	<i>See website for more information</i>
Exploratory	<i>See website for more information</i>
NEW: Political Action Committee	60 days prior to the election date
Political Party Committee	<i>See website for more information</i>

POLITICAL PARTY CAMPAIGN FINANCE COMMITTEE:

(SB844)

NEW: Restricted to:

- ✓ One (1) congressional district campaign finance committee per political party for each district
- ✓ One (1) state party campaign finance committee per political party

CAMPAIGN FINANCE

NEW: POLITICAL ACTION COMMITTEE:

(SB844)

Committees formerly known as “continuing committees” are now referred to as “political action committees” (PACs). The definition remains the same.

SB 844 states acceptable and prohibited sources from which a political action committee can receive contributions.

✓ Acceptable Sources:

- ◆ Individuals
- ◆ Unions
- ◆ Federal Political Action Committee
- ◆ Corporations, Associations, & Partnerships formed under Ch. 347-360 RSMo.
- ◆ State House political action committee per political party designated by the majority or minority floor leaders of the House
- ◆ State Senate political action committee per political party designated by the majority or minority floor leader of the Senate
- ◆ Chair of the state party if the party does not have a majority or minority party status in the House or Senate

✓ Prohibited Sources:

- ◆ Other Political Action Committees (except those specifically allowed by law)
- ◆ Campaign Committees
- ◆ Candidate Committees
- ◆ Debt Service Committees
- ◆ Exploratory Committees
- ◆ Political Party Committees

A candidate, political party, campaign, exploratory and debt service committee can return a contribution to a political action committee that is the origin of the contribution.

It is a violation of law to transfer anything of value to a committee with the intent to conceal its actual source.

CAMPAIGN FINANCE

STEPS FOR COMPLYING WITH CAMPAIGN FINANCE REQUIREMENTS:

If you are required to file a Statement of Committee Organization, you must

1. Identify committee type
2. Form the committee
3. Register the committee
4. Identify “Where to File” the reports
5. File campaign finance reports
6. Amend committee information or reports as needed
7. Distribute any remaining funds & dissolve any debt
8. Terminate the committee

FORMING A COMMITTEE::

- ✓ The actions of the committee determine when the committee is formed (e.g. appointing a treasurer and/or deputy treasurer, opening a committee bank account, etc.).
- ✓ **NEW:** No person shall form a new committee until all previous committees’ campaign finance reports have been filed and all fees assessed have been paid (SB 844).

TREASURER/DEPUTY TREASURER REQUIREMENTS:

- ✓ Must be a resident of Missouri,
- ✓ If candidate committee, must be appointed by the candidate,
- ✓ **NEW:** A *deputy treasurer* may not serve on a new committee if in the past he/she served on a committee that has outstanding campaign finance reports due or unpaid fees assessed (SB 844)
- ✓ For more information regarding treasurer and deputy treasurer’s requirements and duties, see *Treasurer’s Guide for Campaign Finance Reporting* on our website.

REGISTERING A COMMITTEE:

- ✓ File Statement of Committee Organization with the appropriate authority within 20 days after the committee is formed and no later than the deadline for the filing of the first disclosure report.
- ✓ For committee requirements other than candidate committee requirements visit www.mec.mo.gov.

CAMPAIGN FINANCE

WHERE TO FILE REPORTS:

The type of committee, ballot measure or office sought determines where a candidate or committee files their campaign finance reports.

Type of Committee, Measure or Office Sought	Filing Entity
<ul style="list-style-type: none"> ✓ Political Party Committee 	<ul style="list-style-type: none"> ✓ Statewide—Missouri Ethics Commission ✓ Other than Statewide—Missouri Ethics Commission <i>and</i> local election authority for a city, county, or district.
<ul style="list-style-type: none"> ✓ Political Action Committee 	<ul style="list-style-type: none"> ✓ Missouri Ethics Commission <i>and</i> ✓ Election authority where committee is domiciled
<ul style="list-style-type: none"> ✓ School, fire, ambulance, or other special purpose district ✓ City municipal office with 100,000 or less population ✓ County office in county with a population of 100,000 or less (except the County Clerk) 	<ul style="list-style-type: none"> ✓ County clerk of candidate's residency <i>except</i> that in a city or county having a board of election commissioners the board shall be the election authority
<ul style="list-style-type: none"> ✓ City municipal office with population greater than 100,000 ✓ County office in a county with a population greater than 100,000 ✓ County clerk, regardless of population ✓ General Assembly (State Representative or State Senator) ✓ Partisan Circuit Court Judge ✓ Partisan Associate Circuit Court Judge 	<ul style="list-style-type: none"> ✓ Missouri Ethics Commission <i>and</i> ✓ County clerk of candidate's residency <i>except</i> that in a city or county having a board of election commissioners the board shall be the election authority
<ul style="list-style-type: none"> ✓ Statewide office 	<ul style="list-style-type: none"> ✓ Missouri Ethics Commission
<ul style="list-style-type: none"> ✓ Federal Candidate 	<ul style="list-style-type: none"> ✓ Federal Election Commission
<ul style="list-style-type: none"> ✓ Ballot Measure 	<ul style="list-style-type: none"> ✓ Statewide—Missouri Ethics Commission ✓ Local—Local election authority for the political subdivision or district

DUAL FILING REQUIREMENT

- ✓ If you are required to file with two filing entities, you must file an original Statement of Committee Organization with both entities.

Effective, 01/01/2011, all committees required to file with MEC, must file electronically.

CAMPAIGN FINANCE

FILING CAMPAIGN FINANCE REPORTS:

- ✓ All persons/committees required to form a campaign finance committee and file a Statement of Committee Organization must also file subsequent campaign finance disclosure reports as required.
- ✓ A committee discloses its campaign finances on campaign disclosure reporting statements, consisting of *either* a:
 - ◆ Statement of Limited Activity
 - ◆ Full Disclosure

ELECTRONIC FILING:

- ✓ **NEW: Effective January 1, 2011**, all campaign finance committees required to file with the Missouri Ethics Commission are *required by law* to file their reports electronically with the Commission (SB844).

DUE DATES & DEADLINES FOR FILING:

- ✓ If the due date for filing a report falls on a Saturday, Sunday or an official holiday, the due date is extended to 5:00 p.m. on the next business day.
- ✓ Any report mailed to the Missouri Ethics Commission **must be postmarked prior to the due date** to be considered timely filed.
- ✓ Any report hand-delivered to the Missouri Ethics Commission **must be filed by 5:00 p.m. on the due date** to be considered timely filed.
- ✓ Any report electronically filed **must be filed by 5:00 p.m. on the due date** to be considered timely filed.

LATE FEES:

- ✓ **NEW:** If a required campaign finance disclosure report is not filed by the due date a \$50 per day, not to exceed \$3,000, late fee applies, including Statement of Limited Activity Reports (except for the 8 Day Before Election Report which is assessed at \$100 per day, not to exceed \$3,000).

CAMPAIGN FINANCE

FILING REQUIREMENTS AND DATES:

Reporting Period: The day after the last filed report's closing date (or the date of the filed Statement of Committee Organization) through the closing date shown below.

2011 Election Dates	Feb 8	Mar 8	Apr 5	Jun 7	Aug 2	Nov 8
Committee Organization Deadline (except political action committees)	Jan 9	Feb 6	Mar 6	May 8	Jul 3	Oct 9
Political Action Committee Organization Deadline	Dec 10	Jan 7	Feb 4	Apr 8	Jun 3	Sep 9
40 Day Before Report						
Closing Date (Date reported through)	N/A	Jan 22	Feb 19	Apr 23	N/A	N/A
Due Date	N/A	Jan 27	Feb 24	Apr 28	N/A	N/A
8 Day Before Report						
Closing Date (Date reported through)	Jan 27	Feb 24	Mar 24	May 26	Jul 21	Oct 27
Due Date	Jan 31	Feb 28	Mar 28	May 30	Jul 25	Oct 31
30 Day After Report						
Closing Date (Date reported through)	Mar 5	Apr 2	Apr 30	Jul 2	Aug 27	Dec 3
Due Date	Mar 10	Apr 7	May 5	Jul 7	Sep 1	Dec 8
Quarterly Reports						
All committees must file quarterly reports no later than the 15 th day following the close of each calendar quarter. These quarterly reports are due until the committee terminates. See closing and due dates below.						
Closing Date (Date reported through)	<u>January</u> N/A	<u>April</u> Mar 31	<u>July</u> Jun 30	<u>October</u> Sep 30		
Due Date	N/A	Apr 15	Jul 15	Oct 15		

Cont. 

CAMPAIGN FINANCE

FILING REQUIREMENTS AND DATES (CONT.):

48 Hour Report of Contribution over \$5,000
Any individual or committee receiving any contribution (including loans, see §130.011.(12) RSMo. for full definition of contribution) from any single contributor over \$5,000 must electronically report same to the Missouri Ethics Commission within 48 hours of its receipt (must also report this contribution in the committee's next filed report).
<u>NEW</u>: Contributions Received >\$500 During Legislative Session (SB 844)
Any contribution (including loans, see §130.011.(12) RSMo. for full definition of contribution) received, over \$500, must be electronically reported to the Missouri Ethics Commission within 48 hours of its receipt (must also report this contribution in the committee's next filed report) for: <ul style="list-style-type: none"> ✓ Current office holder or candidates (including their committee) for the offices of State Representative or State Senator during the regular legislative session ✓ Current office holders or candidates for the offices of Governor, Lieutenant Governor, Treasurer, Attorney General, Secretary of State, or Auditor during the regular legislative session, AND at any time when legislation from the regular legislative session awaits gubernatorial action
Late Contribution Report
Any receipt of a contribution (including loans, see §130.011.(12) RSMo. for full definition of contribution) over \$250 that is received between the 11 th day through the day before the election, must be reported within 24 hours of its receipt (must also report this contribution in the committee's next filed report). The disclosure may be made electronically or by any written means of communication.
Political Action Committee – Late Expenditure Report
Each time a political action committee spends more than \$250, whether in a single expenditure or in combined expenditures, after the 12 th day before an election, a full disclosure report must be filed within 24 hours. This does not include contributions made to another committee. <i>(See §130.031.13 RSMo., or our SB844 Fact Sheet for specific requirements regarding allowable contributions for political action committees.)</i>
Visit our website at www.mec.mo.gov for more information!

CANDIDATES/CAMPAIGN FINANCE

CANDIDATE REPORTING REQUIREMENTS:

The type of office a candidate is running for, the amount of money accepted (contributions) and the amount of money spent (expenditures) determines a candidate's level of reporting.

Candidate Type	Requirement	Reporting Requirement
<ul style="list-style-type: none"> ✓ Statewide Office ✓ State Representative or State Senator ✓ Municipal Office (population greater than 100,000) 	<ul style="list-style-type: none"> ✓ Total contributions received are \$500 or less; <i>and</i> ✓ Total expenditures made on behalf of the candidate are \$500 or less; <i>and</i> ✓ No single contributor, other than the candidate, contributed more than \$325. 	Statement of Exemption
	<ul style="list-style-type: none"> ✓ Candidate exceeds the thresholds listed above. 	Statement of Committee Organization
<ul style="list-style-type: none"> ✓ All other candidates 	<ul style="list-style-type: none"> ✓ Total activity is \$1,000 or less; (includes contributions received + expenditures made by the candidate or any other person with the candidate's knowledge); <i>and</i> ✓ No single contributor contributed more than \$325. 	No filing requirement
	<ul style="list-style-type: none"> ✓ Candidate exceeds the threshold listed above. 	Statement of Committee Organization

A candidate that is not required to form a committee and file a Statement of Committee Organization must still keep records of all campaign finance activity.

CANDIDATES/CAMPAIGN FINANCE

CANDIDATES:

(SB 844)

- ✓ **NEW:** A successful candidate can not **take office** until the existing candidate committee or any committee where the candidate served as a treasurer or deputy treasurer has paid all fees assessed by the Commission (in addition to the current law that requires all required campaign finance disclosure reports to be filed)
- ✓ **NEW:** No person can **file for office** until the existing candidate committee or any committee where the person served as a treasurer or deputy treasurer has paid all fees assessed by the Commission (in addition to current law that requires all required campaign finance disclosure reports to be filed)

CANDIDATE DISQUALIFICATION:

(SB 844)

- ✓ **NEW: In addition** to current law regarding candidate disqualification for failure to file a personal financial disclosure statement:
 - ◆ A candidate disqualified on the primary election ballot, cannot be selected by a party nominating committee as a:
 - Candidate for nomination to the same office on the same primary election ballot; or
 - Candidate for the same office on the corresponding general election ballot
 - ◆ A candidate disqualified on the general election ballot, cannot be selected by a party nominating committee as a candidate for the same office on the same general election ballot

**CANDIDATES SHOULD ALSO READ
THE CAMPAIGN FINANCE AND
PERSONAL FINANCIAL DISCLOSURE
SECTIONS IN THIS GUIDE**

CANDIDATE/CAMPAIGN FINANCE CHECKLIST

- ☐ 1. Form Committee
- ☐ 2. Select Treasurer (must be resident of Mo.)
- ☐ 3. Open bank account
- ☐ 4. File Statement of Committee Organization
- ☐ 5. File Pin Application & Waiver
(Effective January 1, 2011, all committees required to file with the Missouri Ethics Commission must file electronically)
- ☐ 6. Declare candidacy with appropriate election authority during filing period *
- ☐ 7. File Personal Financial Disclosure (PFD)
(Candidates only)
- ☐ 8. Review Reporting Calendars
- ☐ 9. Continuously file required Campaign Finance reports
- ☐ If unsuccessful:
 - ✓ If more money on hand than debt, must terminate committee within 30 days
 - ✓ If more debt than money on hand, can form Debt Service Committee
- ☐ If successful:
 - ✓ Update election information for committee before accepting future contributions or terminate committee

* Can be done prior to steps 1 through 5 above.

CAMPAIGN MATERIALS IDENTIFICATION REQUIREMENTS

Governing Statutes: Section 130.031, RSMo.

WHO MUST COMPLY? Any person publishing, circulating, or distributing printed material relative to any candidate for public office or any ballot measure within Missouri (See §130.011(22) RSMo., for full definition of “person”).

WHAT IS PRINTED MATTER:? Pamphlets, circulars, handbills, sample ballots, advertisements (including in newspapers/periodicals), signs (included those for display on vehicles), or other imprinted or lettered materials. *Items excluded as printed matter include items used for personal use given away or sold, (i.e. campaign buttons, pencils, or clothing) which are paid for by a candidate or committee.*

Who Paid For The Printed Matter	Required Sponsor Information (following the words ‘Paid for by’)
Candidate from personal funds (only if no candidate committee exists)	First name & Last name by which candidate is known
Committee	Committee name as required to be registered by Missouri campaign finance law, & committee treasurer’s name and title (serving when the material was paid for)
Corporation, Business Entity, Labor Org., Other Org. (not a committee or organized for influencing election(s))	Name of the entity, entity’s principal officer’s name, known title, and mailing address of entity or principal officer (if entity has no mailing address)
Individual(s)	Individual(s) name, & mailing address(es). If more than 5 may print “for a list of sponsors contact (name & address of one individual responsible for having material printed)”. This individual must keep the names and amounts paid by all other individuals.
Can not use abbreviations or acronyms.	

FEDERAL CAMPAIGN LAWS GOVERN:

TV & RADIO: If you are a broadcast station transmitting matter about a candidate or measure, you must provide sponsor identification in accordance with federal campaign laws.

FEDERAL CANDIDATES: If you are a person causing matter to be printed or broadcasted about federal candidates, you must provide sponsor identification in accordance with federal campaign laws.

COMPLAINTS & INVESTIGATIONS

Governing Statutes: Section 105.957, RSMo.

FILING A COMPLAINT:

- ✓ Any individual may file a complaint with the Missouri Ethics Commission if that individual believes any candidate or other individual has violated the campaign finance disclosure laws, the personal financial disclosure laws, the conflict of interest laws, the lobbying laws, or any order, ordinance or resolution dealing with the official conduct of officials.
- ✓ Any complaint against a candidate alleging a violation of the conflict of interest or lobbying laws will not be accepted by the Ethics Commission from sixty days prior to the primary until after the date of the general election.
- ✓ No complaint can be accepted by the commission within fifteen days prior to the primary or general election in which the candidate is running for office.
- ✓ All complaints must be in writing and must be sworn to under penalty of perjury by the complainant.
- ✓ A copy of the complaint will be provided to the individual it is filed against within 5 days of receipt.
- ✓ A copy of the complaint form may be downloaded from the Commission's website.

COMMISSION INVESTIGATIONS:

- ✓ **NEW:** The Executive Director of the Missouri Ethics Commission can, without receipt of a formal complaint and upon approval of all 6 Commission members, conduct investigations on: (SB 844)
 - ◆ Lobbyists
 - ◆ Personal Financial Disclosure Requirements
 - ◆ Campaign Finance
 - ◆ Codes of Conduct
 - ◆ Conflict of Interest
 - ◆ Constitutional provisions, statutes, order, ordinance or resolutions
- ✓ Investigations by the Commission are confidential.
- ✓ Final actions of the Commission are public.
- ✓ New Search: *Commission Cases—Final Actions* available on our website.

CONFLICT OF INTEREST

Governing Statutes: Section 105.450 through 105.467, RSMo.

CONFLICT OF INTEREST:

- ✓ The general provisions of the law, as they apply to elected and appointed officials and some employees of the state and political subdivisions of the state, provide that an elected official cannot:
 - ◆ Use their office for financial gain for him/herself, spouse or dependent children or certain businesses.
 - ◆ Vote to hire any person related to the official by the fourth degree by blood or marriage. (e.g. great grandparent to first cousin).
 - ◆ Perform a service for the political subdivision for pay of more than \$500 per transaction or \$5,000 per year unless the service is bid and the official, company, or partnership is the lowest bidder (if the official has more than a ten percent (10%) interest in the company or partnership). This also applies to the sale, rent, or lease of property to the political subdivision.
 - ◆ Vote for or against any measure if they have received or have been promised any gift or payment of any item or value on condition of the vote.
 - ◆ Receive anything of value to influence the action of the political subdivision.
- ✓ **NEW:** No statewide elected official, general assembly member or any person acting on their behalf may make any offer or promise to confer employment in exchange for an official's vote (SB 844).

USE OF PUBLIC FUNDS:

- ✓ No contributions or public funds can be spent by an officer, employee, or agent of a political subdivision to advocate, support, or oppose any ballot measure or candidate for public office.
- ✓ This does not prohibit the public official of a political subdivision from making public appearances or issuing press releases about a ballot measure.

GUBERNATORIAL APPOINTMENTS (SB 844):

- ✓ **NEW:** Appointment nominees requiring Senate confirmation must:
 - ◆ File Personal Financial Disclosure Statement; and
 - ◆ Submit a list of political contributions, made within a 4-yr period, to the Senate.

LOBBYING

Governing Statutes: Section 105.470 through 105.478, RSMo.

DEFINITION AND REQUIREMENTS:

- ✓ A lobbyist is a person who attempts to influence the action of government. There are four types of lobbyists:
 - ◆ Legislative lobbyist
 - ◆ Executive lobbyist
 - ◆ Judicial lobbyist
 - ◆ Elected local government official lobbyist
- ✓ A lobbyist may register to lobby any or all of these government branches. Each lobbyist must do the following:
 - ◆ Annually register with the Missouri Ethics Commission
 - ◆ Pay a \$10 annual registration fee
 - ◆ File monthly report disclosing any monies spent on elected officials, their family, and/or staff and disclosing business relationships with public officials
- ✓ Failure to file the monthly statement results in a \$10 per day late fee.
- ✓ Lobbyists may terminate their status at any time.
- ✓ For more information, refer to Section 105.470, RSMo.

REPORTED LOBBYIST EXPENSES:

- ✓ Lobbyists report monies spent by the lobbyist principal and/or the lobbyist. They report monies spent on behalf of public officials, their staff and employees, spouses, and dependent children.
- ✓ Reported lobbyist monies spent include:
 - ◆ Printing & Publication
 - ◆ Media & other Advertising
 - ◆ Travel
 - ◆ Entertainment
 - ◆ Honorariums/Gifts
 - ◆ Meals/Food/Beverages
 - ◆ Other

GROUP EXPENDITURES (SB 844):

- ✓ **NEW:** Location to be included as part of description in reports.
- ✓ **NEW:** Definition expanded to include statewide officials and to include employees of the related public official.

PERSONAL FINANCIAL DISCLOSURE (PFD) (FINANCIAL INTEREST STATEMENT)

Governing Statutes: Section 105.483 through 105.492, RSMo

WHO MUST FILE?

Public officials and candidates for the following positions are required to file personal financial disclosure statements:

- ✓ Statewide office and designated staff
- ✓ Senators and Representatives
- ✓ New Associate Circuit Judge candidates (file with the Missouri Ethics Commission)
- ✓ Sitting Judges, incumbent judicial candidates and all other new judicial candidates (file with Supreme Court)
- ✓ Certain state boards and commission members
- ✓ Certain employees of the State or political subdivisions of the state including those employees who are authorized to serve as the chief administrative officer, chief purchasing officer, general counsel, or promulgate or adopt rules and regulations
- ✓ Candidates and public officials in political subdivisions, where an ordinance has been adopted and filed with the Missouri Ethics Commission, that meet one or both of the following exceptions:
 - ◆ The candidate, official, or their relative (related within the first degree of blood or marriage) is doing business or owns a substantial interest in a business that has conducted business with the political subdivision in excess of \$500/transaction
 - ◆ The conflict of interest ordinance/resolution specifically requires the filing of a Personal Financial Disclosure statement

DEADLINES FOR ALL FILERS:

- ✓ **Fax filings ARE NOT accepted, must have original signature**
- ✓ Mail—must be post-marked no later than midnight the day **before** the due date.
- ✓ Hand-delivered—must be received by 5:00 p.m. **on** the due date.
- ✓ *Coming soon:* Electronic filing—must be received by 5:00 p.m. **on** the due date.

PERSONAL FINANCIAL DISCLOSURE (PFD) (FINANCIAL INTEREST STATEMENT)

ANNUAL FILERS

- ✓ Certain positions, designated by political subdivisions with an annual operating budget over \$1 million dollars, are required to file a PFD statement.
- ✓ Annual filers should check with their political subdivision for their filing requirements.
- ✓ The political subdivision may adopt a conflict of interest ordinance or resolution and file the ordinance with the Missouri Ethics Commission. The ordinance would identify positions required to file.
- ✓ Required to file after January 1st, and no later than May 1st.
- ✓ List of required filers:
 - ◆ Each, year, the Missouri Ethics Commission requests a list of required filers from all designating agencies and/or political subdivisions with an annual operating budget over \$1 million dollars or an adopted ordinance or resolution.
 - ◆ Upon request, agencies are required to notify the Missouri Ethics Commission of individuals required to file.
 - ◆ An individual should contact his agency or political subdivision with questions about being designated by the agency.
- ✓ Annual filer notification:
 - ◆ The Ethics Commission annually notifies, in January of the year the statement is due, individuals who have been designated as required to file by their agency or political subdivision. (State law also requires the agency, designating the individual as required to file, to notify the individual.)
- ✓ Reporting time period (§105.487(3) RSMo.)
 - ◆ Include entire previous calendar year (January 1 to December 31)
 - ◆ If not in the position for the entire calendar year, include the time period the position was held.

COMING SOON:
Required filers will be able to file their reports online.
Watch our website for further details.

PERSONAL FINANCIAL DISCLOSURE (PFD) (FINANCIAL INTEREST STATEMENT)

NEWLY APPOINTED OR EMPLOYED

Appointments not requiring Senate confirmation

- ✓ Must file a PFD if the position specifically requires it:
 - ◆ Within 30 days from appointment date
 - ◆ With the Missouri Ethics Commission
 - ◆ Report for calendar year before the date of appointment (ex: if appointed in 2011, report for calendar year 2010)

NEW: Appointments requiring Senate confirmation (SB844)

- ✓ Must file a PFD:
 - ◆ Prior to Senate confirmation if appointed during legislative session; or
 - ◆ Within 30 days of governor appointment if appointed when Senate is not in legislative session
 - ◆ With the Missouri Ethics Commission; and
 - ◆ With the President Pro Tem of the Senate
 - ◆ Report for calendar year before the date of appointment (ex: if appointed in 2011, report for calendar year 2010)
- ✓ Must file a list of all political contributions made within the prior 4-year period (including name of candidate or committee)
 - ◆ Conduct *Political Contribution—Gubernatorial Nominees* search found on our website
 - ◆ File with President Pro Tem of the Senate prior to confirmation

New Employee

- ✓ Must file a PFD if the position specifically requires it.
 - ◆ Within 30 days from hire date
 - ◆ With the Missouri Ethics Commission
 - ◆ Report for calendar year before the date of employment (ex: if newly employed in 2011, report for calendar year 2010)

If you are unsure if something should be disclosed, there is no penalty for over disclosure. This may also avoid the appearance of concealing possible conflicts of interest.

PERSONAL FINANCIAL DISCLOSURE (PFD) (FINANCIAL INTEREST STATEMENT)

CANDIDATES FOR ELECTIVE OFFICE

- ✓ Must file a PFD with Missouri Ethics Commission
- ✓ No later than 14 days after the closing date for filing for candidacy
- ✓ If become a candidate after the certification date, must file PFD within 14 days of nomination
- ✓ Includes candidates for public subdivision with an annual operating budget over \$1 million dollars (unless the political subdivision has adopted an ordinance or resolution which excludes the candidate from filing a PFD)

CANDIDATES FOR JUDICIAL OFFICE

- ✓ New Associate Circuit Judge candidates must file with the Missouri Ethics Commission.
- ✓ Sitting Judges, incumbent judicial candidates (including Associate Circuit Judge) and all other new judicial candidates must file with the Supreme Court.

CANDIDATE NOTIFICATION

- ✓ Candidates for public office receive notification of the filing requirement from their election authority when they file for office.

CANDIDATE REPORTING TIME PERIOD

- ✓ Incumbent—Report information from January 1 of the previous calendar year to the closing date for candidacy (may be longer than a 12 month period)
- ✓ New Candidate—Report information for 12 months prior to closing date for candidacy

See the *Guide to Personal Financial Disclosure* found on our website for more information

www.mec.mo.gov

PERSONAL FINANCIAL DISCLOSURE (PFD) (FINANCIAL INTEREST STATEMENT)

CANDIDATE FILING:

Candidates required to file a PFD must file according to the following dates:

2011 Statutory Election Dates	Feb 8	Mar 8 (see charter)	Apr 5	Jun 7	Aug 2	Nov 8
Closing Date of filing for Candidacy	Nov 23	Dec 21	Jan 18	Mar 22	May 17	Aug 23
PFD Filing Deadline* (14 days from the closing date of fil- ing for candidacy)	Dec 7	Jan 4	Feb 1	Apr 5	May 31	Sept 6
PFD Filing Deadline** (21 days from the closing date of fil- ing for candidacy)	Dec 14	Jan 11	Feb 8	Apr 12	June 7	Sept 13

* Failure to file by the 14 day deadline results in a minimum \$10 per day late fee.

** Failure to file by the 21 day deadline results in removal from ballot.

An individual required to file a PFD because of his/her candidacy for office in a primary election, must amend the PFD, if there are any changes in financial interests, no later than the close of business on the Monday before the general election. (§105.487(1) RSMo.)

TRAINING

Visit the training page on our website
for web tutorials and to
view the training schedule!

<http://www.mec.mo.gov/EthicsWeb/Training.aspx>

NOTES

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Chair

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2nd Congressional District
Term expires March 15, 2012

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9th Congressional District
Term expires March 15, 2014

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1st Congressional District
Term expires March 15, 2014

CONTACT INFORMATION

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Betsy Byers—**Director of Business Services
Campaign Finance**

Elizabeth (Liz) Ziegler—**General Counsel**

Betty Lohmann—**Personal Financial Disclosure**

MISSOURI ETHICS COMMISSION

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